



2164

PATENTS
Attorney Docket CF/019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6761
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2164

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Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
July 27, 2001

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure
Statement in the above-identified application. This
Statement is submitted:

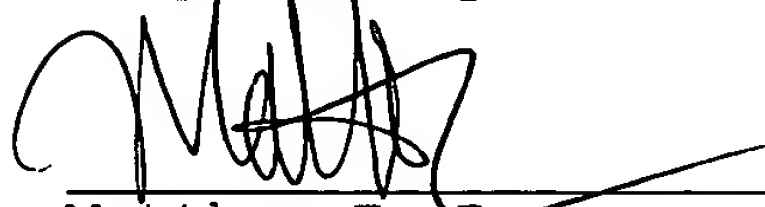
- ☒ [X] within three months of the application filing
date;
- ☐ [] more than three months from the application
filing date but before the mailing date of
the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of
this Statement requires no fee. However, if for any reason
a fee is due, the Director is hereby authorized to charge
payment of any fees required in connection with this

Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



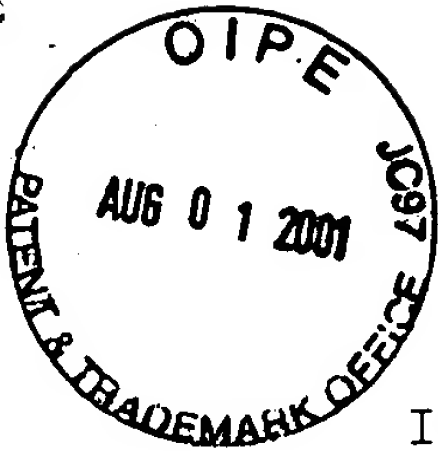
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PATENTS
Attorney Docket CF/019

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Philip M. Ginsberg et al.
Application No.: 09/853,430
Confirm. No. : 6471
Filed : May 10, 2001
For : SYSTEMS AND METHODS FOR ANONYMOUS
ELECTRONIC TRADING
Group Art Unit : 2169

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Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
July 27, 2001

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants
hereby make the following documents of record in the above-
identified patent application:

US PATENTS

Togher et al.	5,375,055	(12/20/1994)
Togher et al.	6,014,627	(01/11/2000)
Shinn et al.	5,806,050	(09/08/1998)
Silverman et al.	5,136,501	(08/04/1992)
Silverman et al.	5,924,083	(07/13/1999)

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Foreign Patents

0 399 850 A2	EPO	(11/28/90)
0 407 026 A2	EPO	(01/09/91)
0 411 748 A2	EPO	(02/06/91)
0 512 702 A2	EPO	(11/11/92)

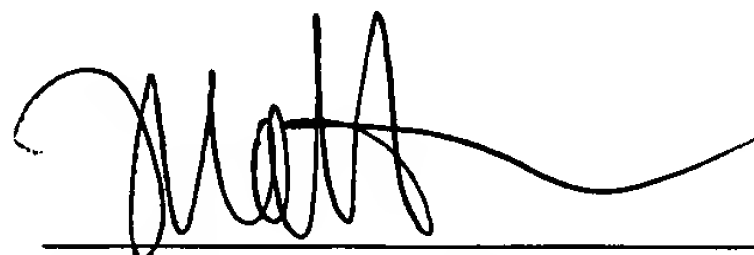
Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

Respectfully submitted,



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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF/19	SERIAL NO. 09/853,430
INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Philip M. Ginsberg et al.	
		FILING DATE May 10, 2001	GROUP 2164

U.S. PATENT DOCUMENTS

INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	5,375,055	12/20/1994	Togher et al.	364	408	
	6,014,627	01/11/2000	Togher et al.	750	1	
	5,806,050	09/08/1998	Shinn et al.	705	37	
	5,136,501	08/04/1992	Silverman et al.	364	408	
	5,924,083	07/13/1999	Silverman et al.	705	37	

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FOREIGN PATENT DOCUMENTS

INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	0 399 850 A2	11/28/90	EPO	G06F	15/24		
	0 407 026 A2	1/9/91	EPO	G06F	15/24		
	0 411 748 A2	2/6/91	EPO	G06F	15/24		
	0 512 702 A2	11/11/92	EPO	G06F	15/21		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

INITIAL	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.